

02-14-2002



101983069

FORM PTO-1595
(Rev. 6-93)

U.S. Department of Commerce

OMB No. 0651-0011 (exp. 4/94)

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original document or copy thereof.

1. Name of conveying party(ies):

Richard J. Cristiano and Motoyuki Yamashita

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other

Execution Date: 11/6/01, 11/9/01

2. Name and address of receiving party(ies):

Name: Board of Regents, The University of Texas System

Street Address: 201 West 7th Street

City: Austin State: Texas Zip: 78701

Additional name(s) & address(es) attached? ☐ Yes ☒ No

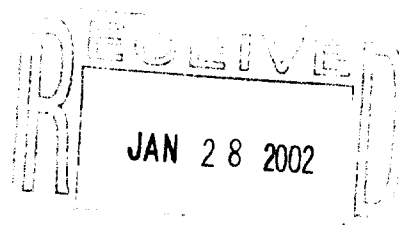
4. Application number(s) or registration number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s):

09/962,922

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Robert E. Hanson

FULBRIGHT & JAWORSKI, L.L.P.
600 Congress Avenue, Suite 2400

City: Austin State: Texas Zip: 78701

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. 3.41)----- \$ 40.00



Enclosed

Authorized to be charged to deposit account
if check insufficient or inadvertently omitted

8. Deposit account number: 50-1212/10108332/REH

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Robert E. Hanson

12/06/2001

Name of Person Signing, Reg. No. 42,628

Signature

Date

Total number of pages including cover sheet, attachments and documents: 8

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignment, Washington, D.C. 20231CERTIFICATE OF MAILING
37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Box Assignment, Washington, D.C. 20231 on the date below:

December 6, 2001

Date

Robert E. Hanson

02/13/2002 TDIAZ1 00000104 09962922

01 FC:581

40.00 OP

25085595.1

PATENT
REEL: 012562 FRAME: 0579

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, do hereby:

SELL, ASSIGN AND TRANSFER to BOARD OF REGENTS, THE UNIVERSITY OF TEXAS SYSTEM (the "Assignee"), having a place of business at 201 West 7th Street, Austin, Texas 78701, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. 09/962,922 which has been filed on **September 25, 2001** and is entitled **"NEW AND IMPROVED PEI:DNA VECTOR FORMULATIONS FOR IN VITRO AND IN VIVO GENE DELIVERY"**, such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

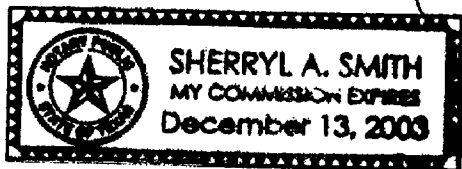
TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

Signature: [Signature]
Name: Richard J. Cristiano

Date: 11/6/01

STATE OF Texas)
COUNTY OF Harris) ss.

BEFORE ME, the undersigned authority, on this 7th day of November 2001 personally appeared Richard J. Cristiano, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



[SEAL]

[Signature]
Notary or Consular Officer

Signature: _____
Name: Motoyuki Yamashita

Date: _____

STATE OF _____)
COUNTY OF _____) ss.

BEFORE ME, the undersigned authority, on this ____ day of _____, 2001 personally appeared Motoyuki Yamashita, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

Notary or Consular Officer

[SEAL]

FULBRIGHT & JAWORSKI L.L.P.
600 Congress Avenue, Suite 2400
Austin, Texas 78701

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, do hereby:

SELL, ASSIGN AND TRANSFER to BOARD OF REGENTS, THE UNIVERSITY OF TEXAS SYSTEM (the "Assignee"), having a place of business at 201 West 7th Street, Austin, Texas 78701, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. **09/962,922** which has been filed on **September 25, 2001** and is entitled **"NEW AND IMPROVED PEI:DNA VECTOR FORMULATIONS FOR IN VITRO AND IN VIVO GENE DELIVERY"**, such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;



TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned
and extend to the successors, assigns and nominees of the Assignee.

Signature: _____ Date: _____
Name: Richard J. Cristiano

STATE OF _____)
) ss.
COUNTY OF _____)

BEFORE ME, the undersigned authority, on this _____ day of _____, 2001
personally appeared Richard J. Cristiano, known to me to be the person whose name is
subscribed to the foregoing instrument and acknowledged to me that he executed the same of his
own free will for the purposes and consideration therein expressed.

Notary or Consular Officer

[SEAL]

Signature: 山 下 元 幸
Name: Motoyuki Yamashita Date: November 9, 2001

STATE OF Kochi)
) ss.
COUNTY OF Japan)

BEFORE ME, the undersigned authority, on this 9 day of November, 2001
personally appeared Motoyuki Yamashita, known to me to be the person whose name is
subscribed to the foregoing instrument and acknowledged to me that he executed the same of his
own free will for the purposes and consideration therein expressed.

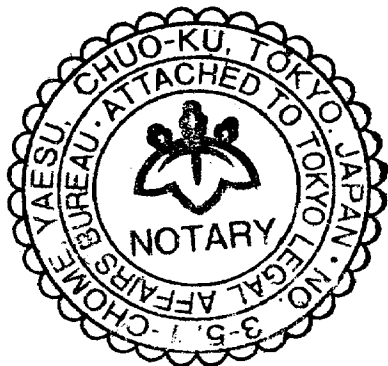
Notary or Consular Officer

[SEAL]

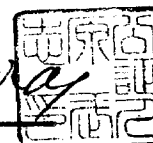
FULBRIGHT & JAWORSKI L.L.P.
600 Congress Avenue, Suite 2400
Austin, Texas 78701

SUBSCRIBED AND SWORN
TO BEFORE ME

NOV 9 2001



Takeshi Hara
TAKESHI HARA
NOTARY
TOKYO LEGAL-AFFAIRS BUREAU
NO 3-5, 1-CHOME, YAESU
CHUO-KU, TOKYO, JAPAN



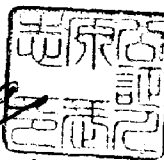


Registered No.

NOTARIAL CERTIFICATE

This is to certify that *Motoyuki Yamashita*
has affixed his signature and seal in my very
presence to the attached document.

NOV 9 2001

Takeshi Hara 
TAKESHI HARA
NOTARY
TOKYO LEGAL-AFFAIRS BUREAU
NO 3-5, 1-CHOME YAESU
CHUO-KU TOKYO JAPAN

APOSTILLE

(Convention de La Haye du 5 octobre 1961)

1. Country: JAPAN

This public document

2. has been signed by Toshiaki HOUKIN

3. acting in the capacity of Director of the Tokyo Legal Affairs Bureau

4. bears the seal/stamp of

Certified

NOV 9 2001

5. at Tokyo

6.

7. by the Ministry of Foreign Affairs

8. 01 - No 028123

9. Seal/stamp:

10. Signature:

T. Mochizuki

Takeshi MOCHIZUKI

For the Minister for Foreign Affairs



PATENT

REEL: 012562 FRAME: 0585



平成 13 年 登簿 第 0448 号

認 証

囑託人 山 下 元 幸

は本公証人の面前で同綴の書面に署名した。

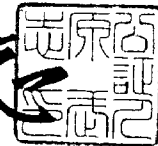
よつて、これを認証する。

平成 13 年 11 月 9 日、本公証人役場において
東京都中央区八重洲 1 丁目 5 番 3 号

東京法務局所属

公証人

原 武 彪



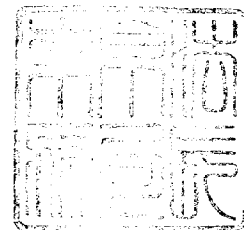
証 明

上記署名は、東京法務局所属公証人の署名に相違ないものであり、かつ、その押印は、真実のものであることを証明する。

平成 13 年 11 月 9 日

東京法務局長

寶 金 敏 明



CERTIFICATE

This is to certify that the signature affixed above has been provided by Notary, duly authorized by the Tokyo Legal Affairs Bureau and that the Official Seal appearing on the same is genuine.

Date

NOV 9 2001

Toshiaki HOUKIN

Director of the Tokyo Legal Affairs Bureau

PATENT

RECORDED: 01/28/2002

REEL: 012562 FRAME: 0586